

Procedures for the Development of IAR Standards for ANSI Approval

To be distributed to all members of Standards Committee, Board of Director, Standards Development Task Force chairs, and shall be available from IAR staff upon request.

Approved by IAR Board of Directors: March 24, 2021
Accredited by ANSI: July 20, 2021

Introduction

This document outlines the procedures for the standards development process for IIAR. It should be used to determine where responsibilities reside, and lists the requirements for each step of the process. The ANSI Essential Requirements were used to develop this document, are referenced heavily in this document, and IIAR procedures do not violate ANSI Essential Requirements. The following are excerpts from the ANSI Essential Requirements describing the general guiding principles of standards development:

1.0 Essential requirements for due process

These requirements apply to activities related to the development of consensus for approval, revision, reaffirmation, and withdrawal of American National Standards (ANS). Due process means that any person (organization, company, government agency, individual, etc.) with a direct and material interest has a right to participate by: a) expressing a position and its basis, b) having that position considered, and c) having the right to appeal. Due process allows for equity and fair play. The following constitute the minimum acceptable due process requirements for the development of consensus.

1.1 Openness

Participation shall be open to all persons who are directly and materially affected by the activity in question. There shall be no undue financial barriers to participation. Voting membership on the Consensus Body shall not be conditional upon membership in any organization, nor unreasonably restricted on the basis of technical qualifications or other such requirements.

1.2 Lack of dominance

The standards development process shall not be dominated by any single interest category, individual, or organization. Dominance means a position or exercise of dominant authority, leadership, or influence by reason of superior leverage, strength, or representation to the exclusion of fair and equitable consideration of other viewpoints.

1.3 Balance

The standards development process should have a balance of interests. Participants from diverse interest categories shall be sought with the objective of achieving balance.

1.4 Coordination and harmonization

Good faith efforts shall be made to resolve potential conflicts between and among existing American National Standards and candidate American National Standards.

1.5 Notification of standards development and coordination

Notification of standards activity shall be announced in suitable media as appropriate to

demonstrate an opportunity for participation by all directly and materially affected persons.

1.6 Consideration of views and objections

Prompt consideration shall be given to the written views and objections of all participants, including those commenting on the PINS announcement or public comment listing in *Standards Action*.

1.7 Consensus vote

Evidence of consensus in accordance with these requirements and the accredited procedures of the standards developer shall be documented.

1.8 Appeals

Written procedures of an ANSI-Accredited Standards Developer (ASD) shall contain an identifiable, realistic, and readily available appeals mechanism for the impartial handling of procedural appeals regarding any action or inaction. Procedural appeals include whether a technical issue was afforded due process.

1.9 Written Procedures

Written procedures shall govern the methods used for standards development and shall be available to any interested person.

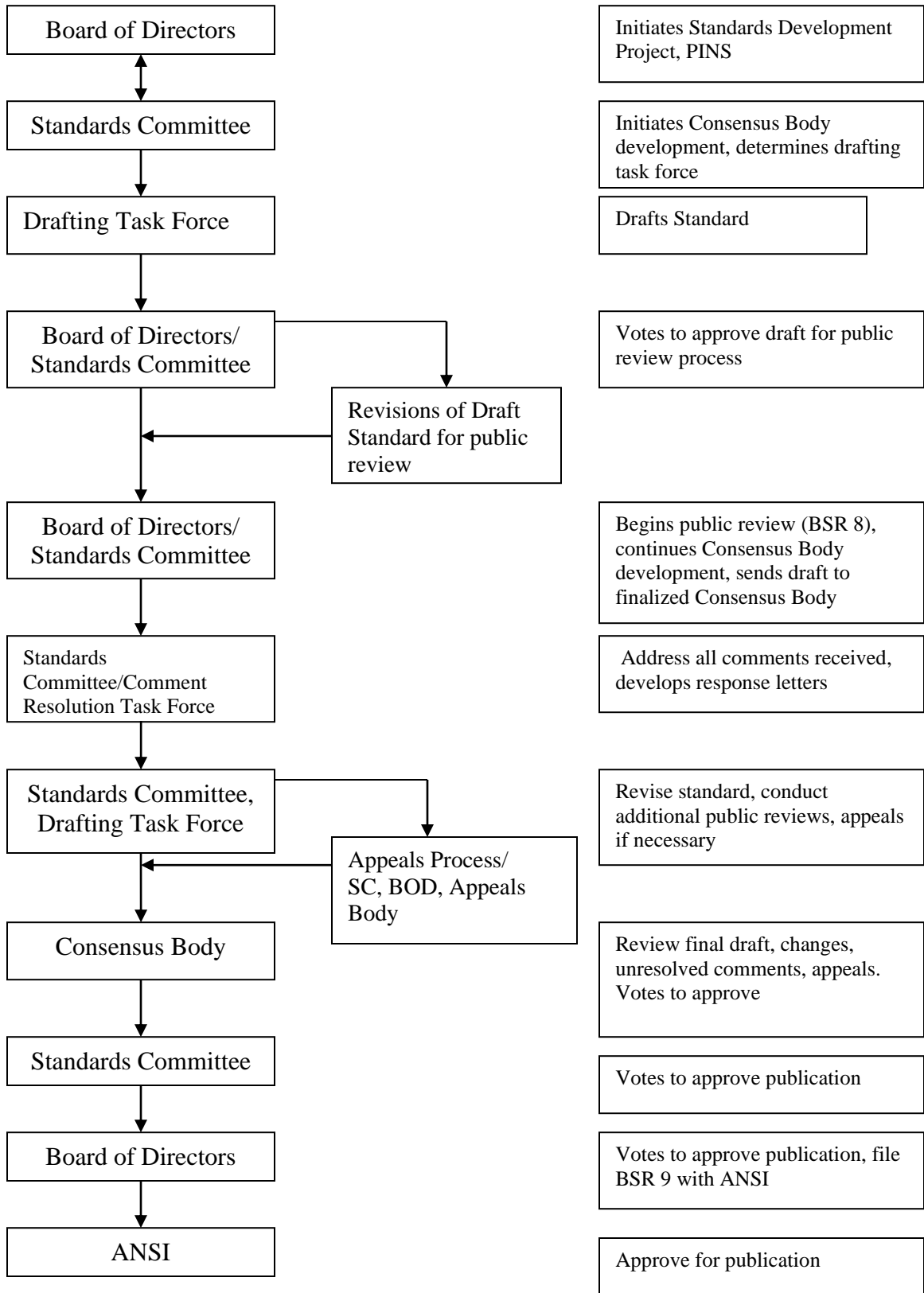
1.10 Compliance with Normative American National Standards Policies and Administrative Procedures

1.11 Antitrust Policy

American National Standards shall be developed in accordance with applicable antitrust and competition laws and meetings amongst competitors to develop American National Standards are to be conducted in accordance with these laws.

All ANSI-Accredited Standards Developer (ASDs) are required to comply with the normative policies and administrative procedures established by the ANSI Executive Standards Council or its designee.

Simplified Flow Chart



Definitions

Consensus Body	The group that approves the content of a standard, verifies and votes that the ANSI/IIAR process for developing the standard was met and whose vote demonstrates evidence of consensus.
Public Review	A period in which any member of the general public may comment on the content of a standard under review.
ANSI	American National Standards Institute
BOD	The IIAR Board of Directors
SC	The IIAR Standards Committee
BSR	The ANSI Board of Standards Review
Staff	Employees of the IIAR
ExSC	The ANSI Executive Standards Council

Standards Development Procedure Outline

(relevant section)

1. The BOD decides that a standard should be developed for approval by ANSI.
2. BOD defines subject/scope of standards project and refers it to SC.
 Alternatively, SC recommends to BOD a standard development project, and the BOD approves it, with agreement on the subject/scope.
 → Staff submits PINS form to ANSI
 → Record: BOD and SC votes
3. SC: *(Section I)*
 - a. Designates a Drafting Task Force Chair
 - b. Charges the Drafting Task Force with their project
 → Record: SC minutes
4. Drafting Task Force: *(Section II)*
 - a. Chair assembles members, convenes Drafting Task Force
 - b. Drafts standard
 - c. Presents draft standard to SC
 - d. Revises draft as needed
 → Record: SC minutes
5. Under certain circumstances and in accordance with these procedures, the SC recommends to BOD to publish standard as a Provisional American National Standard or Provisional Amendment to an American National Standard Public Review, if desired. See *Section IX*]
6. SC: *(Section III)*
 - a. Notifies interested parties (through Staff- *Standards Action*, IIAR website, direct mailing, mass email, etc.)
 - b. The SC develops a Consensus Body in accordance with these Procedures. Development of the consensus body may be concurrent with or subsequent to public reviews. The SC shall also solicit comments from the Consensus Body. SC reviews and BOD votes to approve the Consensus Body roster.
 - c. The SC conducts public reviews suitable for approval by ANSI (follow specific timelines set forth in ANSI Essential Requirements, most current edition).

- d. Appoints Comment Resolution Task Force if necessary.
- Record: outreach, balance, participation,
- Staff: submits BSR 8 to ANSI
- 7. Consensus Body: *(Section IV)*
 - a. Reviews document and submits comments to Comment Resolution Task Force before or during the public review period(s). Initial comments shall be submitted within 30 or 45 days (as determined by the IAR Technical Director or designee). Subsequent comments on the specific content of the standard shall be made during public reviews and submitted as public review comments. The comments on specific content received before Consensus Body balloting shall be treated by the SC in the same manner as public review comments. This does not preclude members of the Consensus Body from making general comments on the standard or during the procedures for recirculation among Consensus Body members when approval balloting occurs at the end of the standard's development. Staff shall provide these details upon distribution of the initial draft to the Consensus Body.
 - b. Review final draft of standard and vote for up or down approval subsequent to final addressing of all comments from all public reviews and Consensus Body comments. Votes shall be based on whether the standard should be published and whether the IAR/ANSI standard development process has been followed based on the information that is required to be provided to them. This is not an opportunity for additional comments on specific content, unless specific content would be reason to reject the entire standard.
- Record: Letters and instructions to Consensus Body, Consensus Body comments, formal vote, and reasons for any negative votes or abstentions.
- 8. SC or Comment Resolution Task Force: *(Section V)*
 - a. Responds to comments received from Consensus Body before and during public reviews; Responds to comments received from public review(s); Responds to any comments made during the Consensus Body Vote.
 - b. Submits proposed responses from Comment Resolution Task Force to SC chair or designee. Responses are distributed to SC for review and comment within a time period established by SC chair.
 - c. Submit final draft of standard to SC for approval, responses to commenters and any unresolved comments and/or appeals
- Record: SC Chair or designee approval of responses to commenters, documentation of rationale for responses to commenters
- 9. SC:
 - a. Review and submit final draft, substantive changes, unresolved comments and/or appeals to Consensus Body for up or down vote for approval. Substantive changes requested by SC shall initiate additional public review(s) before submittal to the Consensus Body.
 - b. Vote to submit final draft of standard to BOD with recommendation to publish, along with any unresolved comments and/or appeals
- Record: SC vote, reasons for any negative votes, unresolved comments/appeals documentation

10. BOD gives approval to publish standard
 → Staff submits: BSR 9 to ANSI (the Consensus Body vote is reported on the BSR 9 form) along with all ANSI required documentation. See latest ANSI Procedures for a complete list of required submittals.
 → Record: BOD vote
 Note: IIAR has 6 months to publish the standard after approval from ANSI Board of Standards Review, per ANSI Essential Requirements.
11. BOD:
 The BOD shall approve the withdrawal or discontinuance of an ANSI national standard.
 → Record: BOD vote
 → Record: Reasons for withdrawal
 → Record: ANSI documentation for withdrawal

❖ Section I

Standards Committee Procedures

1. SC to consist of members of the IIAR which is made up of a balanced representation of the IIAR membership. SC meetings shall be public and copies of SC meeting materials shall be made available upon request to Staff, subject to copyright restrictions and agreement not to represent drafts of standards as approved or official IIAR positions. SC approves draft from Drafting Task Force by majority vote.
 → Record: SC vote
2. Interpretations shall follow the IIAR Interpretations Policy (see Appendix). Upon written application, SC shall issue written interpretation of IIAR standards. Interpretations are not subject to appeal. The interpretation shall be published on the IIAR website and written notification given as appropriate.
 → Record: Web publication, correspondence to and from requester
3. Appeals shall follow the IIAR Appeals Policy (see Appendix) and the ANSI Essential Requirements.
4. Standards Committee and Staff shall develop and recommend to the BOD the Consensus Body membership per these procedures (see Appendix: IIAR Consensus Body Development and Procedure). BOD shall review and approve the Consensus Body roster. The BOD has the obligation and authority to review and make changes to the Consensus Body roster made in accordance with these procedures.
 → Record: SC and BOD votes to approve Consensus Body roster
5. Issue draft standard to Consensus Body, and explain the responsibilities of their participation on the Consensus Body.
 → Record: Letters and instructions to the Consensus Body.
6. Public review: Staff announces availability of review in *Standards Action*, and on the IIAR website. Other methods could be used for announcing standards development actions, such as direct mailings or mass emails. During the public review, the following shall be made available via the IIAR website: a copy of the draft, a brief explanation of the history of its development, an explanation of

- ANSI’s role, instructions for commenting, and other documents that may be relevant. The comment period is determined by ANSI Essential Requirements.
7. Consider views and objections in accordance with ANSI Essential Requirements. “Prompt consideration shall be given to the written views and objections of all participants, including those commenting on the PINS announcement or public comment listing in Standards Action.” (ANSI Essential Requirements).
 8. Repeat steps 7 and 8 until all comments have been given fair consideration, (see comment resolution section).
 9. See the IIAR Appeals Policy on how to address appeals.
 10. Report unresolved objections and/or appeals to Consensus Body and BOD, in accordance with ANSI Essential Requirements. “Each unresolved objection and attempt at resolution, and any substantive change made in a proposed American National Standard shall be reported to the Consensus Body in order to afford all members of the consensus body an opportunity to respond, reaffirm, or change their vote.” (ANSI Essential Requirements)
 11. Send final draft, unresolved comments and appeals to Consensus Body for review.
 12. Respond to any additional comments or negative votes made by the Consensus Body per these and ANSI procedures.
 13. Send final draft, unresolved comments and appeals to BOD for approval.

❖ **Section II** { for internal IIAR use only – not for ANSI audit }

Charge to Drafting Task Force

1. Develop a document suitable for publication as an ANSI approved standard.
2. The standard should reflect a considered, complete view of the best available information in the field.
3. Prescriptive language (requirements “shall”) shall be used only if the requirement being imposed is the only appropriate one or shall enumerate the acceptable alternatives. Informative provisions or explanations of the normative language shall appear in informative appendices.
4. Conduct development according to the principles of openness and due process embodied in the ANSI Essential Requirements, latest edition.

Drafting Task Force Procedures

1. Chair of the Task Force calls for members through appropriate channels. Chair chooses members, seeking a balance of interests as far as deemed practicable. Chair reports membership to SC before convening for the first time and requests any proposed change in membership.
2. Drafts standard in accordance with the Drafting Task Force charge. Progress reports shall be provided to the SC (and through Staff, to the public via the IIAR website and other appropriate channels). Consider all views and objections presented and seek participation, in so far as practicable from representatives of all interested groups.
3. Presents drafts of standard to SC for review and approval.
4. Presents final draft of standard to SC.

❖ Section III

Public Review and Comment Resolution Procedures

1. The public review of an IIAR standard shall be announced as required in the ANSI Essential Requirements, latest edition. This includes notification in ANSI *Standards Action*, through the IIAR website, and other appropriate notification methods.
2. The public review period shall last thirty (30) days if the standard or substantive changes to the standard are five (5) pages or less, forty-five (45) days if the standard is available electronically and deliverable within one day of the request and sixty (60) days if the standard is not available to be delivered within one day of the request, per ANSI Essential Requirements. NOTE: Although a sixty (60) day public comment period is not required in all instances, a number of provisions in the ANSI Essential Requirements, when read in combination, satisfy the World Trade Organization's (WTO) sixty (60) day rule. Before adopting a standard, IIAR shall allow a period of at least sixty (60) days in total for submission of comments on the draft standard if requested by an interested party within the territory of a Member of the WTO. Exceptions outlined in the rule are permitted due to issues of safety, health or environment. [See WTO Agreement on Technical Barriers to Trade (TBT), Annex 3 Code of Good Practice for the Preparation, Adoption and Application of Standards (CGP) Substantive Provision L.]
3. Comments shall be submitted electronically, either via the IIAR website public review section, or directly to Staff, who will then input them into the website tracking system. Comments submitted in hard copy will also be entered into the website tracking system by Staff. If the website tracking system is unavailable, another suitable tracking method (such as a master spreadsheet or database) shall be used. Comments shall include a recommendation of specific wording changes or other actions that would resolve the commenter's concerns. Wording changes shall be indicated using underlines for new text and strikethroughs for deleted text, or where an entire section is to be deleted, by specifically identifying the text to be deleted. Comments shall also include a substantiation statement that presents the rationale for requested wording changes or other actions. A commenter that does not include all the information required by this section will be requested to provide an explanation.
4. At the end of the public review period, the comments will be compiled by Staff and the SC will be notified that the public review period has ended and the comments will be given to the SC and the Comment Resolution Task Force, if established.
5. Comments received outside of the public review period (including comments from the consensus body) shall be acknowledged in writing to the commenter, and the commenter will be notified that the comment was received outside of the public review period, and when it will be considered.
6. Prior to the SC vote to approve the final draft of the standard, the SC and Comment Resolution Task Force may consider comments received outside of the public review period. If they choose not to consider the comment at that time, the comment shall be considered during the next review period.

7. The SC or the Comment Resolution Task Force will consider each comment received. If necessary, a working group may be convened to draft an appropriate response to a comment. If a working group is created, their draft response shall go to the Comment Resolution Task Force and the SC Chair or designee for approval prior to being sent to the commenter. The comment responses shall be distributed to the SC for review and further comment within a time period established by the SC chair.
8. Once the draft response is approved by the SC chair or designee, the written response shall be sent to the commenter, with assistance from Staff.
 - a. There are eight possible formal responses to commenters:
 - i. Accepted comment as submitted
 - ii. Accepted, with minor changes (same approach to the issue)
 - iii. Accepted in principle (a different response to the issue is proposed)
 - iv. Rejected
 - v. Rejected, except as noted (majority of comment is not accepted)
 - vi. More information is needed, please provide additional information or contact IIAR.
 - vii. Deferred, additional study or more information is required for the SC to act upon the comment. The SC will proceed with work to publish the standard as drafted. Upon receiving the results of additional information or research, the SC will re-address the comment.
 - viii. Answered a question, with no additional actions.
 - b. For each category of response, a more detailed reason from the SC for their position shall be conveyed to the commenter along with this formal response.
 - c. For the Deferred response (vii above), the SC shall use this response only if a resolution cannot be determined with current information. The SC shall initiate objective research efforts intended to address the comment(s). Status of efforts associated with addressing the comment will be made available upon request.
9. If the commenter accepts the SC response, he or she will fill out a form stating such and return it to Staff. The commenter shall be notified that forms not returned within 30 days shall be considered resolved. If the commenter does not accept the SC response, he or she will fill out a form indicating such and return it to Staff. The commenter shall be informed that failure to return the form with an indication that he or she is unresolved shall permit the IIAR to consider that commenter resolved. Staff will inform SC of the status of all comments.
10. If the commenter does not accept the SC response, the SC will be informed of the commenter's position. The SC can then either let the comment go unresolved or draft a new response that will resolve the commenter.
11. After consideration of comments or because new information is received, the SC may decide that the entire standard shall be issued for another public review. If the entire standard is to be re-issued for public review, a formal response to each comment received prior to the new public review is not required. In this case, each commenter shall be notified that the entire standard will be submitted for public review, and that formal responses will not be issued. The new public review shall be announced in *ANSI Standards Action*, on the IIAR website and other means.

12. All unresolved commenters will be notified in writing of their right to appeal, in accordance with the IAR Appeals Policy (see Appendix) and ANSI Essential Requirements, latest edition.
13. All unresolved comments and/or appeals shall be reported to the Consensus Body and the BOD, and as required in ANSI Essential Requirements, latest edition. “Each unresolved objection and attempt at resolution, and any substantive change made in a proposed American National Standard shall be reported to the Consensus Body in order to afford all members of the Consensus Body an opportunity to respond, reaffirm, or change their vote.” (ANSI Essential Requirements)
14. If a subsequent public review is required, all substantive changes must be open for comment during the public review period. The Consensus Body must also be notified of any substantive changes made to the draft they approve. For clarity or context, the SC may wish to publish more sections, up to and including the entire document. In this case, instructions will be published with the public review draft detailing which sections are open for comment.
15. Comments received that are editorial, grammatical or spelling related are welcomed and will be considered but will not require a formal response to the Commenter.
→ Record: Comment resolution letters, forms, appeals proceedings

❖ Section IV

Consensus Body Responsibilities

1. See Appendix for Consensus Body Development and Procedures.
2. The Consensus Body shall read and review the public review draft of the standard, and provide any comments on the specific content of the standard to the SC within 30 or 45 days, as determined by the IAR Technical Director or designee.
3. The Consensus Body shall provide additional review on the specific content of the standard through the public review process.
4. Should the Consensus Body be developed during or subsequent to any public review, as permitted by Appendix: IAR Consensus Body Development Procedures, B.1, the Consensus Body shall be provided the opportunity to comment on the specific content of public review drafts that occurred prior to the formation of the Consensus Body. Such comments shall be submitted to the SC within 30 or 45 days, as determined by the IAR Technical Director or designee.
5. The Consensus Body shall review the final draft of the standard, any unresolved comments and attempts at resolution, and any appeals.
6. The Consensus Body shall formally vote to approve the draft standard. Votes shall be based on whether the standard should be published and whether the standards development process has been followed based on ANSI required documentation provided to them. Votes should not be based on specific content unless the content would cause the voter to reject the entire standard. When the vote occurs, the Consensus Body will have already been given sufficient opportunity to provide comments on the specific content of the standard. Consensus Body members shall vote one of these four categories:

- a. Approve
 - b. Approve, with comment
 - c. Disapprove, with reasons (the reasons for a negative vote shall be given and shall include specific wording or actions that would resolve the objection)
 - d. Abstain, with reasons
7. Negative votes and reasons or comments accompanying a vote shall be handled per the balloting and voting procedures in Section VII.
→ Record: Consensus Body comments, vote, correspondence

❖ Section V {for internal IAR use only – not for ANSI audit}

Comment Resolution Task Force Procedures

1. Membership shall be determined by SC.
2. The Comment Resolution Task Force will receive all comments during the public review periods, and comments from the Consensus Body.
3. Draft proposed responses to each comment and submit to SC chair or designee for approval. Responses shall be distributed to the SC for review and comment prior to distribution to the commenter(s).
4. Send SC chair or designee approved responses to commenters, working with Staff.
5. Document the rationale/reasons behind each response, where appropriate. This documentation is typically included within the responses.
6. See “Public Review and Comment Resolution Procedures” above for more details.

❖ Section VI {for internal IAR use only – not for ANSI audit}

IAR Staff/Technical Director duties

- Supports committee activities
- Facilitates IAR announcements to ANSI, IAR newsletter, website etc.
- Receives and distributes comments from public review
- Responsible for submission of ANSI forms and documentation for public reviews (BSR 8) and submissions for publication (BSR 9)
- Responsible for compiling and submitting necessary paperwork for ANSI audit
- Retain all records in accordance with the IAR ANSI Records Retention Policy
- If the IAR Technical Director is unavailable, the BOD will appoint an Acting Technical Director for purposes of executing these activities

❖ Section VII

Balloting and Voting Procedures (applicable to Standards Committee and Consensus Body)

Standards Committee

Actions or motions considered by the full Standards Committee that concern the content of consensus standards shall require:

- Affirmative votes by the majority of the voting membership and
- Affirmative votes by at least two-thirds ($2/3^{\text{rds}}$) of those voting at a meeting, not counting abstentions

The Standards Committee Chair may authorize letter ballots to be issued on any matter. The Chair shall issue letter ballots when it is necessary to establish a majority approval for a measure affecting consensus standards content.

Negative voters on a letter ballot concerning measures affecting consensus standards content shall be requested to provide the reason(s) for their negative vote. If a reason is not provided for a negative vote, the ballot will be disregarded (not counted) and the vote will become final. If a measure passes with one or more negative ballot votes accompanied by comments, the results shall be held in abeyance until the comments on the negative ballot along with the Chair's rebuttal (if any) is recirculated (conveyed) to all eligible voters who may decide to vote or change their vote within seven (7) days upon receiving the negative comments. When this opportunity to vote, or change a vote expires, the results of the vote shall be final and shall be recorded.

Consensus Body

Approval of a new standard, revision or re-affirmation of an existing standard or a substantive addendum to part or all of an existing standard shall require:

- Affirmative votes by at least two-thirds ($2/3^{\text{rds}}$) of Consensus Body members, not counting abstentions

When recorded votes are taken at in-person meetings and conference calls, Consensus Body members who are absent shall be given the opportunity to vote before or after the meeting.

Consensus Body ballot durations must be at least thirty (30) days. The Consensus Body ballot may be closed at the end of thirty (30) days, or sooner if all Consensus Body members have responded. A follow-up letter will be sent ten (10) calendar days prior to the close of the consensus ballot to those who have not returned their ballot by then. Unresponsive Consensus Body members will be listed as "unresponsive" in the final vote tally. An extension of up to sixty (60) days shall be granted upon request from any Consensus Body member giving a legitimate reason.

Negative votes of Consensus Body members shall be accompanied by a reason. The SC shall attempt to resolve the reason for the negative vote. If the resolution involves substantive changes, these shall be submitted for additional public reviews as necessary and in accordance with procedures. The negative vote, reason and resolution, if applicable, shall be recirculated to the Consensus Body members to afford each member an opportunity to change his/her vote. Recirculation ballot duration shall be established by the Technical Director and shall be at least seven (7) days but not more than thirty (30) days.

❖ Section VIII

Document Management Guidelines

All standards development documents shall be retained in electronic or paper form in accordance with the IAR ANSI Record Retention Policy (see Appendix). The Drafting Task Force is encouraged to use such editing features as Microsoft Word “Track Changes” to manage several drafts of a document. All parties involved in the standards development process shall be responsible for providing and retaining documentation in accordance with the IAR ANSI Record Retention Policy (see Appendix).

❖ Section IX

Provisional ANSI Standards or Provisional Amendments to ANSI Standards

The following is an excerpt from Annex B of the ANSI Essential Requirements:

B.1 Procedures for the Development of a provisional American National Standard (ANS) or a Provisional Amendment to an ANS

When an alternative process is not otherwise reflected in an ANSI-Accredited Standards Developer’s (ASD’s) accredited procedures, these procedures set forth the requirement for the issuance of a Provisional ANS or a Provisional Amendment to an existing ANS and may be used when all of the following circumstances apply:

- When implementation of the Provisional ANS or Provisional Amendment may result in an improvement to the safeguarding of life, and there is a well-established need for the prompt dissemination of information that addresses an emergency situation or other special circumstance;
- When the use of the accredited procedures of the ASD would cause an undue delay in the issuance of a related standard; and
- When an ASD supports the development of a Provisional ANS or a Provisional Amendment with the intention of initiating the processing as an ANS, of the Provisional ANS or the Provisional Amendment to an ANS, within forty-five (45) days of its approval date. Processing of the ANS shall be in accordance with the ASD’s accredited procedures, including ANSI Public review in *Standards Action* and consensus body ballot.

B.1.1 Public Notice

An announcement identifying the standard and describing the circumstances that warrant the issuance of a Provisional ANS or Provisional Amendment shall be provided to ANSI in a timely manner for publication in ANSI’s *Standards Action* along with relevant developer contact information. The requirements in clause 2.5 *Notification of standards development and coordination* shall not apply with regard to a provisional ANS or Provisional Amendment that is promulgated in accordance with these procedures.

B.1.2 Minimum Consensus Body ballot period

A developer using these procedures may utilize the minimum ballot period established by their accredited procedures for an ANS or the consensus body may establish a ballot period that is not less than two (2) weeks.

B.1.3 Approval of a Provisional ANS or a Provisional Amendment to an ANS

Approval of a Provisional ANS or a Provisional Amendment to an ANS requires approval by the Consensus Body of at least two-thirds (2/3rds) of those voting, excluding abstentions.

B.1.4 Comment Resolution

All comments accompanying the ballot shall be circulated to the Consensus Body in order to afford all members an opportunity to respond, reaffirm, or change their vote. For recirculation of comments, a minimum period of not less than one week is required. An attempt to resolve the comment received relative to the Provisional ANS or Provisional Amendment is not required.

B.1.5 Right to Appeal

The right to appeal shall not be required in connection with the issuance of a Provisional ANS or Provisional Amendment. After the standard or revision has been issued, if a directly and materially affected party believed that the Provisional ANS or Provisional Amendment should be withdrawn, then the Withdrawal for Cause procedures detailed in the *ANSI Essential Requirements: Due Process requirements for the American National Standards shall apply*.

B.1.6 Approval Notification to ANSI

Notice of the approval of a Provisional ANS or Provisional Amendment by an ASD shall be submitted to ANSI within five (5) days of the approval of the document. The notice shall include the designation and title of the new or affected document, the approval date and a certification that the developer has followed these procedures. An informational announcement shall be published in *Standards Action*.

B.1.7 Processing the Provisional ANS as an American National Standard

The ASD shall initiate the processing, as an ANS, of the Provisional ANS, or the Provisional Amendment to the ANS, within forty-five (45) days of its approval date. This processing shall be in accordance with the ASD's accredited procedures and shall include publication of a PINS, either before or after publication of the initial announcement in *Standards Action* that identified the Provisional ANS or Provisional Amendment to the ANS and described the circumstances that warranted its issuance per B.1.1 and before ANSI public review of the draft proposed ANS or amendment in *Standards Action* and consensus body ballot. Following the publication of the PINS, all of the other requirements of 2.5 Notification of standards and coordination associated with a PINS apply.

B.1.8 Withdrawal

A Provisional ANS or Provisional Amendment shall exist for no longer than two years from the date on which it is approved by the ASD. If consensus is achieved and the affected standard (either the Provisional ANS or the ANS as modified by the Provisional Amendment) is published as an ANS, the Provisional ANS or the Provisional Amendment is superseded and shall be withdrawn. If consensus is not achieved, the Provisional ANS or the Provisional Amendment shall be withdrawn at that time, but no later than two (2) years from the date on which it was approved. A notice of the withdrawal shall be published in ANSI's *Standards Action*.

B.1.9 Identification of a Provisional ANS or Provisional Amendment

A standard or an amendment to a standard promulgated in accordance with these procedures shall be referred to as a Provisional American National Standard or Provisional Amendment, respectively, and identified clearly as such on the cover or title page. In addition, a standard processed as a Provisional American National Standard, shall be identified by a unique alphanumeric designation in accordance with the following guidelines:

ANSI/ABCD 123 (PS) where ABCE reflects the developer's acronym.

And an American National Standard with a provisional amendment shall be identified as follows:

ANSI/ABCD 123 (PA)

The following or similar text shall be included in the forward of a Provisional Standard or adjacent to a Provisional Amendment when included in the text of an ANS:

“This document or some of the information contained in this document has been processed in accordance with ANSI's requirement for a Provisional American National Standard or a Provisional Amendment to an ANS. The same or similar document or amendment (as applicable) will undergo the standards development process set forth in the ASD's accredited procedures. This Provisional ANS or pertinent Provisional Amendment(s) shall be withdrawn on or before the two-year anniversary date of its approval as such.”

The ANSI approval logo and the words “an American National Standard” shall not be used to identify an entire standard that has not received ANSI approval or been approved by an accredited standards developer who has been granted authority to designate its standards as American National Standards.

B.1.10 Audit of Use of Provisional ANSI Process

Evidence of compliance with these procedures shall be retained. This documentation shall be examined during the next scheduled audit of the developer.

<end excerpt>

❖ Section X

Revision of these procedures

The following is an excerpt from the ANSI Essential Requirements:

Whenever any revision is made to a standard developer's procedures on record at ANSI, the ExSC shall be notified and provided with a detailed description of the changes. If the changes are considered by the ExSC to be non-substantive, the standards developer will be notified and, upon such notification, may begin to operate under the revised procedures. If the changes are considered by the ExSC to be substantive, notice of these changes shall appear in Standards Action with a call for comment. Copies of the revised procedures shall be made available by the applicant to any party, upon request. If a developer submits their procedures in an electronic format and authorizes ANSI to post them on ANSI Online for purposes of public review, then the associated call for comment period in ANSI's Standards Action shall be thirty (30) days and shall be announced as such.

If the standards developer decides to implement revised procedures prior to the final approval of the ExSC, they may do so provided that a) records concerning the implementation are maintained and available for use by the ANSI Audit Program; b) the developer certifies that the changes are in compliance with the ANSI Essential Requirements; and c) the developer accepts responsibility for all actions taken with regard to a candidate American National Standard, including resubmittal, if the ExSC does not approve a particular procedural provision.

<end of excerpt>

For internal purposes, the IIAR Standards Development Procedures shall be clearly marked with the date of approval and date of withdrawal, showing when the procedures were in effect.

Appendix: IIAR Policies

➤ **IIAR Patent Policy**

IIAR agrees to comply with the ANSI Patent Policy contained in the ANSI Essential Requirements should any patent issues arise related to any of its American National Standards.

There is no objection in principle to drafting an ANS in terms that include the use of an essential patent claim (one whose use would be required for compliance with that standard) if it is considered that technical reasons justify this approach. If an ANSI-Accredited Standards Developer (ASD) receives a notice that a proposed ANS may require the use of such a patent claim, the procedures in the ANSI Essential requirements shall be followed.

➤ **IIAR Metric Policy**

The IIAR metric policy for ANSI standards, bulletins and all IIAR publications is to use the common engineering “inch-pound” (IP) unit system as the primary unit of measure, and the International System of Units (SI), as defined in United States National Institute of Standards and Technology Special Publication 330 “The International System of Units”, for secondary units.

➤ **IIAR Interpretations Policy**

General –

- ☞ The IIAR considers interpretation requests for ANSI Standards, created and published by the IIAR, upon written application to the Standards Committee. If the Standards Committee deems it appropriate, an interpretation will be issued subject to this IIAR Interpretation Policy.

Procedures –

- ☞ Requests for interpretation will be considered as “received in writing” if such requests are emailed to the attention of the IIAR directly or via the IIAR web site, faxed to the IIAR headquarters offices, emailed or faxed to the attention of the IIAR Technical Director or sent via the postal services directly to the IIAR Technical Director.
- ☞ All written requests for interpretation will be responded to, in writing, by either the IIAR Technical Director or a designated SC committee member. Such response will be made as soon as possible following receipt and approval of the response by the SC and IIAR Technical Director.
- ☞ The technical response will be provided by a person or persons appointed by the SC or by the IIAR Technical Director. The SC will approve the technical response by a majority of voting members. Such person or persons will have demonstrated expertise in the subject requiring interpretation.
- ☞ Requests for interpretation and responses by the IIAR shall be retained by the IIAR according to the Records Retention Policy.
- ☞ The IIAR may elect to publish both the request and the interpretation on the IIAR website.

Format Example of Written Response:

Interpretation: IIAR SC 2001-1
Subject: ANSI / IIAR – 2 1999, Section 5.1
Date Response Issued: September 18, 2007
Original Question: from requesting party
Reply: Yes / Noexplanation
Committee Action: (if required)

➤ **IIAR Appeals Policy** (changes in the following paragraphs were suggested by ANSI audit team April 5, 2017)

Persons who have directly and materially affected interests, and who have been or will be adversely affected by any procedural action or inaction by IIAR with regard to the development of a proposed American National Standard or the revision, reaffirmation, or withdrawal of an existing American National Standard, have the right to appeal. Appeals shall be submitted to IIAR staff within thirty (30) days after notification of any action. Appeals of inactions can be filed at any time. The burden of proof to show adverse effect shall be on the appellant. An attempt to resolve the appeal informally shall be made before a hearing is scheduled.

Within forty-five (45) days upon the receipt of an appeal, IIAR shall provide or arrange for an impartial Appeals Body composed of at least three individuals knowledgeable as to the policy or other concerns related to the appeal. Such individuals must not have demonstrably real or apparent conflicts of interest with the subject of the appeal or the person filing the appeal. This Appeals Body shall consider both sides of the argument, the nature of the appeal, and any possible resolutions and report their recommendation to the SC and the BOD within forty-five (45) days after the establishment of the Appeals Body. The appellant will be notified in writing of the Appeals Body decision.

The SC may reconsider the content of the standard based on the appeal and the recommendation of the Appeals Body. Substantive changes resulting from an appeal would then be submitted for public review and subsequent vote by the consensus body. If the draft standard is approved by the SC without changes reflecting the appeal, it will be sent to the BOD along with the appeal and the recommendations of the Appeals Body. If the BOD then approves the draft standard, they will notify ANSI of their approval of the draft standard and the existence of an appeal on the BSR 9 form submission. The BOD or SC will then notify the commenter that the draft standard was approved despite their appeal, and that the commenter can appeal further to ANSI per its established protocol

➤ **IIAR Copyright Policy**

IIAR shall establish procedures to:

- Register copyright and provide copyright notice on each publication excepting those intended to pass into the public domain.
- Obtain copyright release from committee members, consultants, technical paper authors, and any party whose material is to be reprinted in an IIAR publication.
- Obtain speaker's releases from all speakers at IIAR sponsored functions.
- Grant permission to reproduce IIAR-copyrighted material at the discretion of the IIAR President or members of the IIAR Executive Committee.

➤ **IIAR Commercial Terms & Conditions Policy**

IIAR agrees to comply with the ANSI Commercial Terms and Conditions Policy contained in the ANSI Essential Requirements should any commercial issues arise related to any of its American National Standards.

Except as permitted by the ANSI Essential Requirements, IIAR shall not include terms or conditions within standards that are primarily contractual or commercial in nature, as opposed to technical, engineering or scientific in nature.

➤ **IIAR ANSI Record Retention Policy Statement**

All records relating to IIAR standards development shall comply, at a minimum, with the following statement:

Records shall be retained for one complete standards cycle, or until the standard is revised. Records concerning withdrawals of all American National Standards shall be retained for at least five (5) years from the date of withdrawal or for duration consistent with the audit schedule.

See also: Informative Appendix: IIAR Standard Archive

➤ **IIAR General Record Retention Policy Statement**

It is the policy of the IIAR that its records be retained only so long as they are (1) necessary to the current conduct of the Institute's business; (2) required to be retained by statute or government regulation; or (3) relevant to pending or foreseeable investigations or litigation. In furtherance of this policy, the Institute has adopted the attached Record Retention Schedule and the following principles and procedures for its Record Management Program, which shall be strictly observed by the Institute, its officers, directors, Staff and committee members.

1. The responsibility for administering the Institute's Record Management Program in accordance with this policy is designated to the IIAR President. In addition, the IIAR President, with the assistance of legal counsel, shall be responsible for annual audit program.
2. Destruction of specific records shall be carried out only in accordance with the authority of the Technical Director or Director of Standards Development and with the approval of the IIAR President.
3. All records, including those maintained on electronic data processing storage media, shall be covered by this policy.
4. Despite any retention periods specified in the attached Record Retention Schedule, all records shall be retained for at least the minimum period as stated in applicable state or federal laws or regulations.
5. The destruction of documents shall be suspended immediately upon receipt of legal process or other notice of pending or foreseeable investigations or litigation. In addition, upon such notice, all of the Institute's records shall be secured immediately in order to prevent deliberate destruction of documents. No such suspension of the Institute's Record Program shall be lifted except upon the written authorization of legal counsel.

6. Requests for exemptions from the Program should be submitted to the IIAR President and legal counsel. Exemptions will be given only in accordance with the basic objectives of this Policy Statement.
7. The IIAR President, with the assistance of legal counsel, shall be responsible for interpreting this Policy Statement for application to specific situations.

APPENDIX: IIAR Consensus Body Development and Procedures

A. General

This is a normative appendix for the IIAR Procedures for the development approval, reaffirmation, revision, or withdrawal of American National Standards.

B. Development of the Consensus Body

B.1 - IIAR shall develop a list of potential Consensus Body members consisting of those organizations, companies, government agencies, standards developers, individuals, etc., known to be, or who have indicated that they are, directly and materially affected by the standard. IIAR shall meet the requirements in the latest edition of ANSI Essential Requirements regarding lack of dominance. No individual shall represent more than one interest group or company. Not more than one individual from a single company or organization may participate on a Consensus Body. The list may be developed concurrently with public reviews.

B.2 - In order to determine if potential Consensus Body members are interested in participating on the Consensus Body, IIAR shall conduct an interest survey prior to, concurrent with, or subsequent to the conduction of public review(s) of the draft standard, in which IIAR informs the potential Consensus Body members, in writing, about the use of ANSI procedures for developing evidence of consensus, and, if the potential Consensus Body members are interested in participating, obtains an appropriate interest category classification. The survey shall contain the title, designation, scope, and description of the standard. Additional materials such as the history of its development, purpose and intended application of the standard, and an explanation of the ANSI function can be provided on the IIAR website. The time for response shall be at least thirty (30) days from the date of the survey and shall be so noted. All those who have agreed to participate shall be included in the development of the Consensus Body roster, together with their agreed-upon interest categories.

Interest categories include:

- **Manufacturer:** Manufacturers or manufacturer's representatives of ammonia refrigeration components. Companies that assemble components and install the assembled equipment qualify as manufacturers if the majority of their income is derived from the assembly of components for resale as complete units.
- **Designer/Installer/Service:** Persons or organizations that design, install, or service ammonia refrigerating systems or equipment. This category includes design engineers and contractors.
- **Operator/Owner:** Owners or operators of ammonia refrigeration systems, such as food processors, refrigerated warehouses, etc.

- General Interest: Other persons or organizations. This category includes code/standards bodies, trade or professional organizations, educational institutions, consulting engineers, etc.

The SC shall establish a Consensus Body roster with a minimum of eight (8) individuals. Every attempt shall be made to achieve a balanced Consensus Body roster. For the purposes of the Consensus Body, “balance” exists when no single interest category constitutes more than one-third (1/3rd) of the membership of the Consensus Body. If a category is sufficiently represented, candidates for the Consensus Body shall be informed in writing that their membership category is already sufficiently represented and they will be placed on a list of potential alternate Consensus Body members. These candidates will be contacted in the event that a Consensus Body member resigns from the Consensus Body. The IIAR may also directly solicit individuals of a specific interest category in order to achieve balance. Those directly solicited must be provided the title, designation, scope and description of the proposed standard in writing. If a candidate’s membership on the Consensus Body presents a conflict of interest, membership will be withheld and candidates will be notified in writing. Conflicts of interest include, but are not limited by membership or pending membership of: the IIAR Board of Directors, IIAR Standards Committee, and drafting task force(s) of the proposed standard(s).

In addition, the affiliation¹ and interest category of each member of the Consensus Body shall be made available to interested parties upon request.

Once an interest survey has been completed for a standard, it need not be repeated for subsequent balloting of the document. In addition, IIAR may conduct a single interest survey for a group or category of standards. An individual who has indicated a desire and has been confirmed to be on the Consensus Body for a particular category or categories of standards shall receive the draft document(s), letter ballot(s), and all other appropriate information.

C. Announcement of Consensus Body Development

Upon notification from IIAR (via the submission of BSR 8 Form), ANSI shall announce the development of the Consensus Body in *Standards Action* to elicit additional potential members. This announcement shall include a statement that the Consensus Body roster is available upon request from IIAR. Once the Consensus Body for a standard has been established, additional members need not be solicited unless members resign or can otherwise no longer participate.

D. Approval of the Consensus Body Roster

Once the Consensus Body has been developed, its membership shall be approved first by the SC and subsequently by the BOD.

¹ Affiliation refers to the entity that the Consensus Body member represents (which may or may not be that person’s employer). If the Consensus Body member is serving in an individual capacity, then the name of the individual, that person’s employer and interest category should be available.

E. Maintenance of the Consensus Body Roster

E.1 - The Consensus Body Roster shall be periodically reviewed as determined by the SC Chair or Technical Director. Unresponsive Consensus Body members shall be contacted to determine their further interest in participation. If these members remain unresponsive after affirming their continued interest in participation, they shall be notified of their termination of Consensus Body membership. Membership of resigned or terminated Consensus Body members shall be offered to alternate members of the same interest category who had previously volunteered, but were denied membership due to sufficient balance in their interest category. If no alternate members are available, the IIAR shall call for additional members to the Consensus Body as necessary to re-establish balance.

E.2 - Consensus Body members who resign their responsibilities or have changed their interest category shall notify the IIAR Staff.

F. Conduct of Review

F.1 - IIAR may begin to conduct the review of the standard at any time but Consensus Body members subsequently added to the Consensus Body roster shall have the same amount of time to respond as do the other members.

F.2 - IIAR shall transmit the following information to Consensus Body members:

- a) the purpose and intended application of the standard;
- b) a brief history and explanation of how the standard was developed;
- c) an explanation of ANSI's function and the use of ANSI procedures in the voluntary consensus standards system;
- d) a copy of the IIAR Standards Development Procedures
- e) upon request, a copy of the Consensus Body roster, consisting of the name, affiliation, and category of interest of each Consensus Body member;
- f) a copy of the complete proposed standard;
- g) substantively changed portions under review if the Consensus Body has previously received the complete standard;
- h) any unresolved comments, attempts at resolution and related correspondence.
- i) any appeals, decisions and other related correspondence
- j) official letter ballot(s) to all Consensus Body members. Letter ballots shall contain the following voting options:
 - Approve
 - Approve, with comment
 - Disapprove, with reasons (reasons for a negative vote shall be given and shall include specific wording or actions that would resolve the

- objection)
- Abstain, with reasons

F.3 Upon request, IIAR shall provide to the Consensus Body members a reasonable number of copies of the document being considered, to allow for a speedy determination of position by the Consensus Body member. Should the document contain material that is not to be considered for approval as an American National Standard, such as an introduction, appendix or annex, a clear statement shall be included indicating those portions of the standard that are to be considered for approval by ANSI.

F.4 Those not on the Consensus Body who have a direct and material interest in the standard have an opportunity to participate in the review of the standard during the public review process, announced in *Standards Action*, on the IIAR website and e-newsletters.

F.5 Proposals for new American National Standards and proposals to revise, reaffirm, or withdraw existing American National Standards shall also be transmitted to ANSI for listing in *Standards Action* for comment. IIAR shall determine whether such listing shall be concurrent with the drafting and review of the standard and whether announcement of the proposed action in other suitable media is appropriate.

F.6 Views and objections resulting from the Consensus Body review shall be dealt with in accordance with normative APPENDIX: Disposition of Views and Objections, and Section VII, Balloting and Voting Procedures.

APPENDIX: IIAR Disposition of Views and Objections

A. General

This is a normative appendix concerned with the handling of comments, views, and objections received in association with the development of standards. Prompt consideration shall be given to the written views and objections of all participants, including those of the Consensus Body members, and those commenting on either the PINS announcement or public comment listing in *Standards Action*.

B. PINS Announcement Comments

If IIAR receives written comments within thirty (30) days from the publication date of a PINS announcement in *Standards Action*, and said comments assert that a proposed standard duplicates or conflicts with an existing American National Standard (ANS) or a candidate ANS that has been announced previously in *Standards Action*, a mandatory deliberation of representatives from the relevant stakeholder groups shall be held within

ninety (90) days from the comment deadline. Such a deliberation shall be organized by IIAR and the commenter and shall be concluded before IIAR may submit a draft standard for public review. If the deliberation does not take place within the ninety (90) day period and IIAR can demonstrate that it has made a good faith effort to schedule and otherwise organize it, then IIAR will be excused from compliance with this requirement. The purpose of the deliberation is to provide the relevant stakeholders with an opportunity to discuss whether there is a compelling need for the proposed standards project. The outcome of a PINS deliberation shall be conveyed in writing (the “Deliberation Report”) within thirty (30) days after the conclusion of the deliberation by IIAR to the commenter and to ANSI. Upon submission of the Deliberation Report, IIAR may continue with the submission of the proposed standard for public review. If additional deliberations take place, they should not delay the submission of the proposed standard for public review, and an updated Deliberation Report shall be conveyed within thirty (30) days after each deliberation. Any actions agreed upon from the deliberations shall be carried out in a reasonably timely manner, but normally should not exceed ninety (90) days following the deliberation. Subsequently, IIAR shall include all of the Deliberation Report(s) with the BSR-9 submittal to the ANSI Board of Standards Review (BSR) for consideration should IIAR ultimately submit the subject standard to ANSI for approval. Stakeholders who were involved in the PINS deliberation process may also file separate Deliberation Reports with ANSI and IIAR within thirty (30) days after conclusion of any deliberation for consideration by the BSR, if the standard is submitted to ANSI for approval.

C. Public Review and Consensus Body Comments

In connection with an objection articulated during a public comment period, or submitted in connection with a vote, an effort to resolve all expressed objections shall be made, and each objector shall be advised in writing (including electronic communications) of the disposition of the objection and the reasons therefore. If resolution is not achieved, the objector shall be informed in writing that an appeals process exists within procedures used by IIAR. In addition, each objection resulting from public review or submitted by a member of the Consensus Body, and which is not resolved must be reported to the ANSI BSR.

Unresolved objections, attempts at resolution, appeals and any substantive change made in a proposed American National Standard shall be reported to the Consensus Body in order to afford all members an opportunity to respond, reaffirm, or change their vote. Substantive changes made in a proposed American National Standard shall be listed in *Standards Action*.

Negative votes of Consensus Body members shall be accompanied by a reason. See Section VII, Balloting and Voting Procedures for information on negative votes of Consensus Body members.

D. Submittal of Standard

Upon completion of the Standards Committee, Consensus Body and BOD responsibilities for disposition of views and objections, appeals, and approval, the

proposed standard may be submitted to ANSI for approval using the most current ANSI BSR 9 form and all required submittal materials called for on the form.

Informative Appendix: IIAR Standard Archive

{for internal IIAR use only – not for ANSI audit}

- ❖ **The following items shall be retained regarding IIAR standards in order to meet ANSI requirements. Retention period shall follow IIAR ANSI Records Retention Policy.**
 1. BOD and/or SC meeting minutes establishing the development of standards.
 2. Copy of draft standard
 3. Copy of final published standard
 4. ANSI Standards Action publications
 5. PINS, BSR 8, BSR 9 and any other ANSI forms (BSR 11 etc.)
 6. Copy of public review documents for all public reviews
 - a. Announcement to membership (mailing, website)
 - b. Comments received
 - c. Responses sent
 - d. Resolution forms
 7. Copy of documents sent to consensus body
 - a. Outreach, Consensus Body interest survey
 - b. Participation (member list)
 - c. Ballots
 - d. Evidence of compliance with ANSI Essential Requirements
 8. Copy of BOD approval for publication and consensus body membership list
 9. Copy of SC approval for publication and consensus body membership list
 10. Approval from ANSI
 11. Copy of IIAR Procedures and Policies in effect during standard development
 12. Annual ANSI Compliance Forms
 13. Audit documents: ALL files requested by ANSI for an audit
 14. Records pertaining to the withdrawal or discontinuance of an ANSI standard shall be retained for 5 years subsequent to the withdrawal.

- ❖ **The following items shall be retained regarding IIAR standards for the IIAR records/archive. Retain for a period of 10 years.**
 1. Any development documents that explain why/how technical decisions were made, e.g. basis for values chosen, design guidance, possibly in the form of detailed meeting minutes or email exchanges
 2. Any extensive debate on a technical aspect, e.g. ventilation requirements or pipe schedule, possibly in the form of an email trail
 3. Timeline showing key milestones in the development of the standard
 4. SC minutes or other documents covering comment resolution from public review periods
 5. A file location spreadsheet or some other organization key

6. Any correspondence with ANSI
7. Audit documents: ALL files requested by ANSI for an audit

*It is preferable to archive electronic copies of all documents, whenever possible.
Pertinent email correspondence should be saved as PDF and/or HTM files. *